

# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.

V637-02531 US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

First Inventor or Application Identifier

James A. COX et al.

Title

VERTICAL CAVITY SURFACE EMITTING LASER HAVING A GAIN GUIDED  
APERTURE INTERIOR TO AN OXIDE CONFINEMENT LAYER

OLD  
S N 11  
11

10/28/21

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

## ACCOMPANYING APPLICATION PARTS

2. ☒ Specification Total Pages 18

6. ☐ Assignment Papers (cover sheet & document(s))

7. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)

8. ☐ English Translation Document (if applicable)

3. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets 2

9. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations

10. ☐ Preliminary Amendment

4. ☐ Oath or Declaration Total Pages

11. ☒ White Advance Serial No. Postcard

- a. ☐ Newly executed (original or copy)

12. ☐ Small Entity Statement(s) ☐ Statement filed in prior application. Status still proper and desired.

- b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))  
(for continuation/divisional with box 15 completed)

1. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b).

13. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

14. ☐ Other:

5. ☐ Incorporation By Reference (usable if box 4B is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4B, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

Check for \$ 0.00

15. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

Prior application information: Examiner:

Group Art Unit:

16. Amend the specification by inserting before the first line the sentence:

- ☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)

of application Serial No.

Filed on

- ☐ This application claims priority of provisional application Serial No.

Filed

## 17. CORRESPONDENCE ADDRESS

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Date: December 28, 2001

Name:

Registration No.:

This form is a Replicā of PTO/SB/17 (01/01)

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL  
For FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT \$812.00

## COMPLETE IF KNOWN

Application No.	T.B.D.
Filing Date	December 28, 2001
First Named Inventor	James A. COX et al.
Group Art Unit	T.B.D.
Examiner Name	T.B.D.
Attorney Docket No.	V637-02531 US

## METHOD OF PAYMENT (check one)

☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

 Deposit Account Number 01-1125  
 Deposit Account Name Honeywell International Inc
☒ Charge any Additional Fee Required Under 37 CFR §§1.16 & 1.17

☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 740 201	370	Utility Filing Fee	740
106 330 206	165	Design Filing Fee	
107 510 207	255	Plant Filing Fee	
108 740 208	370	Reissue Filing Fee	
114 160 214	60	Provisional Filing Fee	
SUBTOTAL (1)			\$740.00

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
24	4	18.00	72
3	0	84.00	-9
Independent Claims			
Multiple Dependent Claims			

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
103 18 203	9	Claims in excess of 20	
102 84 202	42	Independent claims in excess of 3	
104 280 204	140	Multiple dependent claim	
109 84 209	42	Reissue independent claims over original patent	
110 18 210	9	Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			\$72.00

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130 205	65	Surcharge - late filing fee or oath	
127 50 227	25	Surcharge - late provisional filing fee or cover sheet	
139 130 139	120	Non-English specification	
147 2,520 147	2,250	For filing a request for <i>ex parte</i> reexamination	
112 920* 112	920*	Requesting publication of SIR prior to Examiner action	
113 1,640* 113	1,640*	Requesting publication of SIR after Examiner action	
115 110 215	55	Extension for reply within first month	
116 400 216	200	Extension for reply within second month	
117 920 217	400	Extension for reply within third month	
118 1,440 218	720	Extension for reply within fourth month	
128 1,980 228	980	Extension for reply within fifth month	
119 320 219	160	Notice of Appeal	
120 320 220	160	Filing a brief in support of an appeal	
121 280 221	140	Request for oral hearing	
138 1,510 138	1,150	Petition to institute a public use proceeding	
140 110 240	55	Petition to revive - unvailable	
141 1,280 241	840	Petition to revive - unintentional	
142 1,280 242	840	Utility issue fee (or release)	
143 460 243	230	Design issue fee	
144 620 244	310	Plant issue fee	
122 130 122	130	Petitions to the Commissioner	
123 50 123	50	Processing fee under 37 CFR 1.17(c)	
126 180 126	180	Submission of Information Disclosure Statement	
581 40 581	40	Recording each patent assignment per property (times number of properties)	
146 740 246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149 740 249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179 740 279	3370	Request for Continued Examination (RCE)	
169 900 169	900	Request for expedited examination of a design application	
195 300 195	300	Publication fee	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$0.00

## SUBMITTED BY

Name (Print / Type)	Andrew A. Abeyta	Registration No (Attorney/Agent)	39,582	Complete (if applicable)	Telephone	602-313-3345
Signature	<i>John W. Kelly</i>			Date	12/29/2001	

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Burden Hour Statement: This form is estimated to take 2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time are referred to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C., 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC, 20231.